

FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE (REV. 01-2003)		ATTORNEY'S DOCKET NUMBER 2002DE408
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (If known, enter 37 CFR 1.5) 10/506486 to be Assigned
INTERNATIONAL APPLICATION NO. PCT/EP03/01928	INTERNATIONAL FILING DATE 26 February 2003	PRIORITY DATE CLAIMED 07 March 2002
TITLE OF INVENTION Thermally Stable Polyalkylene Glycols as Lubricants for Refrigerators		
APPLICANT(S) FOR DO/EO/US Klaus POELLMANN, Anton STRASSER, Oliver PFUELLER, Josef KAPFINGER		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> Has been communicated by the International Bureau. c. <input type="checkbox"/> Is not required, as the application was filed in the United States Receiving Office (Ro/US). 6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> Has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> Have been communicated by the International Bureau. c. <input type="checkbox"/> Have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> Have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input checked="" type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).		
Items 11 to 20 below concern document(s) or information included:		
11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An application Data Sheet under 37 CFR 1.76 15. <input type="checkbox"/> A substitute specification 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter .2 and 37 CFR 1.821 – 1.825. 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or information:		
• Express Mail Label Number: ER654099424US; copy of the International Search Report; Transmittal Letter Notification of Amendments Under PCT Article 34 w/ 2 sheets of English translated Annexes		

U.S. APPLICATION NO. (if known see 37 CFR 1.53)
to be assigned

INTERNATIONAL APPLICATION NO.
PCT/EP03/01928

ATTORNEY'S DOCKET NUMBER
2002DE408

PT09 Rec'd PCT/PTO 02 SEP 2004

21. ☒ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):

Neither international preliminary examination fee (37 CFR 1.482)
Nor international search fee (37 CFR 1.445(a)(2) paid to USPTO
and International Search Report not prepared by the EPO or JPO.....\$1,080.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO.....\$ 920.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search fee (37 CFR 1.482) paid to USPTO.....\$770.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33 (1)-(4).....\$730.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33 (1)-(4)\$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$ 920.00

Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months
From the earliest claimed priority date (37 CFR 1.492(e)).

\$ 0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	8 - 20 =	0	x \$18.00	\$ 0.00
Independent claims	2 - 3 =	0	x \$86.00	\$ 0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$290.00	\$ 0.00

TOTAL OF ABOVE CALCULATIONS =

\$ 920.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fee indicated above are
reduced by 1/2.

\$ 0.00

SUBTOTAL =

\$ 920.00

Processing fee of \$130.00 for furnishing the English translation later than 30 months
From the earliest claimed priority date (37 CFR 1.492(f)).

\$ 0.00

TOTAL NATIONAL FEE =

\$ 920.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 40.00

TOTAL FEES ENCLOSED =

\$ 960.00

Amount to be
refunded:

\$

charged:

\$

a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 03-2060 in the amount of \$ 960.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 03-2060. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card
information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)
or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Clariant Corporation
Industrial Property Department
4000 Monroe Road
Charlotte, North Carolina 28205
Telephone: 704-331-7151
Fax: 704-331-7707

Anthony A. Bisulca
SIGNATURE

Anthony A. Bisulca
NAME

40,913
REGISTRATION NUMBER

Customer Number 25,255

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Express Mail Label Number ER654099424US

Date of Mailing: September 2, 2004

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that on the date indicated above this International application and the documents referred to as enclosed therein, of:

**Inventors: Klaus POELLMANN
Anton STRASSER
Oliver PFUELLER
Josef KAPFINGER**

**For: Thermally Stable Polyalkylene Glycols as Lubricants for
Refrigerators**

**International Application No.: PCT/EP03/01928
International Filing Date: 26/02/2003 (26 February 2003)
Priority Filing Date: 07/03/2002 (07 March 2002)**

is being deposited with the United States Postal Service as "Post Office to Addressee" Express Mail addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, Mail Stop:, in accordance with 37 CFR 1.10.



Vicki L. Sgro